



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Mark Ortiz and Paul A. Spence

Title: IMPLANTABLE HEART ASSIST DEVICES AND METHODS

CERTIFICATE OF MAILING BY EXPRESS MAIL - 37 CFR 1.10

'Express Mail' mailing label number: EL583223320US
Date of Deposit: October 3, 2000

I certify that this paper or fee (along with the enclosures noted herein) is being deposited with the United States Postal Service 'Express Mail Post Office to Addressee' service under 37 CFR 1.10 on the above date and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

By: Ryan Cummins (person mailing paper

UTILITY PATENT APPLICATION TRANSMITTAL

BOX PATENT APPLICATION
Assistant Commissioner for Patents
Washington, D.C. 20231

This is a request for filing, under 37 CFR § 1.53(b), a(n):

- **☑** Original (non-provisional) application.
- □ Divisional of prior application Serial No. __, filed on __.
- ☐ Continuation of prior application Serial No. __, filed on __.
- Continuation-in-part of prior application Serial No. ___, filed on ___.

PRELIMINARY AMENDMENT/CALCULATION OF FEES

- ☐ Please cancel claims __ without prejudice, and prior to calculating the fees. __ total claim(s), of which __ is(are) independent, is(are) pending after the amendment.
- □ Please enter the enclosed preliminary amendment identified below prior to calculating the fees. ___ total claim(s), of which __ is(are) independent, is(are) pending after the amendment.
- **☑** The Fees are Calculated as Follows:

Fee:	Number of Claims:	In Excess of:	Extra:	At Rate:	Amount:
Total Claims	48	20	28	\$18	\$504.00
Independent Claims	11	3	8	\$80	\$640.00
MULTIPLE DEPENDENT CLAIM FEE					
BASIC FEE					\$710.00
TOTAL OF ABOVE CALCULATIONS					\$1,854.00
REDUCTION BY 50% FOR FILING BY SMALL ENTITY					\$927.00
TOTAL					\$927.00

ENCLOSURES

- **Utility Patent Application Transmittal Form (in duplicate) containing Certificate of Mailing By Express Mail Under 37 CFR 1.10.**
- **図** Return Postcard.

APPLICATION PAPERS

- ☑ Utility Patent Application, with: cover sheet, <u>44</u> page(s) specification (including <u>48</u> total claim(s), of which <u>11</u> is(are) independent), and <u>1</u> page(s) abstract.
- ☑ Drawings: 14 sheet(s) of formal drawings (22 total figure(s)).
- ☐ Microfiche Computer Program (Appendix).
- Nucleotide and/or Amino Acid Sequence, including (all are necessary): Computer Readable Copy, Paper Copy (identical to computer copy), and Statement verifying identity of copies.
- ☑ An Executed_ Declaration, Power of Attorney and Petition Form.
- □ Copy of Executed Declaration, Power of Attorney and Petition Form from prior application identified above.
- ☐ Certified Copy of priority document(s) identified as attached above.

ADDITIONAL PAPERS

- ☑ Assignment to Paul A. Spence , Recordation Cover Sheet (Form PTO-1595)
- ☑ Verified Statement to Establish Small Entity Status under 37 CFR 1.9 and 1.27.
- ☐ Preliminary Amendment (to be entered prior to calculation of fees)
- ☐ Information Disclosure Statement, __ sheet(s) Form PTO-1449, __ U.S. Patent Reference(s), __ Foreign Patent Reference(s) and __ Other Reference(s)
- □ Other: ___

CHECKS

- ☑ A Check of \$927.00 for the filing fee.
- ☑ A Check of \$40.00 for the assignment recording fee.

DEPOSIT ACCOUNT AUTHORIZATION

- □ Please charge Deposit Account No. <u>23-3000</u> in the amount of __.
- □ The Commissioner is authorized to charge any fees under 37 CFR 1.16 and 1.17 which may be required during the entire pendency of the application, or credit any overpayment, to Deposit Account No. 23-3000. A duplicate of this transmittal is attached.
- THE PAYMENT OF FEES IS BEING DEFERRED.

WOOD, HERRON & EVANS, L.L.P.

2700 Carew Tower

Cincinnati, Ohio 45202

(513) 241-2324

KGR/msh

Respectfully Submitted,

Kevin G. Rooney

Reg. No. 36,330